



14/4

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Judith E. Schwabe  
Assignee: Sun Microsystems, Inc.  
Title: REMOTE INCREMENTAL PROGRAM VERIFICATION USING API DEFINITIONS  
Serial No.: 10/661,043 Filed: September 12, 2003  
Examiner: Jason D. Mitchell Group Art 2193  
Docket No.: P-4172CNT Unit:

Monterey, CA  
May 31, 2006

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

### SUBMISSION OF DOCUMENTS REQUESTED BY EXAMINER

Sir:

As per your request, please find enclosed copies of the following non-patent documents, which were first cited in the parent application for the above application.

#### FOREIGN DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY
1)	EP 0 685 792	05/24/1995	EP
2)	WO 98/19237	05/07/1998	WO
3)	WO 98/37526	02/19/1998	WO
4)	EP 0 718 761 A1	12/19/1995	EP
5)	WO 00/00890	01/06/2000	EP
6)	WO 01/14958	03/01/2001	FR

#### OTHER DOCUMENTS

7)	David Basin "Java Bytecode Verification by Model Checking" System Abstract, pgs. 492-495 IT-Research Security (TZ/FE34)
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8)	Daniels, John et al., "Strategies For Sharing Objects in Distributed Systems" JOOP, Object Designers Ltd., UK, pages 27-36
9)	Chan, "Infrastructure of Multi-Application Smart Card", <a href="http://home.hkstar.com/~alanchan/papers/multiApplicationSmartCard/">http://home.hkstar.com/~alanchan/papers/multiApplicationSmartCard/</a> , July 25, 2002
10)	Chen, Zhiqun, "Java Card™ Technology for Smart Cards", Sun Microsystems, pages 11-16, June, 2000
11)	Ritchey, Tim, "Advanced Topics: The Java Virtual Machine", Java!, Chapter 14, pages 325-346, September 22, 1995
12)	Sun Microsystems, Inc., "Java Card™ 2.0 Language Subset and Virtual Machine Specification", October 13, 1997, Revision 1.0 Final.
13)	Sun Microsystems, Inc., "Java Card™ 2.0 Programming Concepts", October 15, 1997, Revision 1.0 Final.
14)	"Sun Delivers On Vision to Bring JAVA Technology to the Consumer and Embedded Market", Business Wire, September 28, 1999
15)	"Sun Microsystems Announces JAVACARD API", Business Wire, October 1996
16)	Sun Microsystems: "Sun's JAVA Technology Leads Open Worldwide Market for Smart Cards", M2, Presswire, May 1999
17)	George E. Necula, et al., "Proof-Carrying Code", November 1996, pp. 1-60
18)	Joachim Posegga, et al., "Byte Code Verification for Java Smart Cards Based on Model Checking", September 16-18, 1998, pp.176-190

If the Examiner has any questions concerning these documents, the Examiner is respectfully requested to contact the undersigned attorney for the applicant.

**CERTIFICATE OF MAILING**

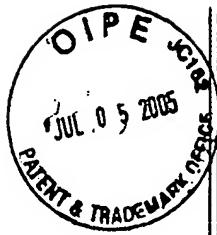
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Attorney for Applicant(s)

May 31, 2006  
Date of Signature

Respectfully submitted,

Forrest Gunnison  
Attorney for Applicant(s)  
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IPW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Judith E. Schwabe

Assignee: Sun Microsystems, Inc.

Title: REMOTE INCREMENTAL PROGRAM VERIFICATION USING API  
DEFINITIONS

Serial No.: 10/661,043 Filed: September 12, 2003

Examiner: Unassigned Group Art 2184  
Unit:

Docket No.: P-4172CNT

Monterey, CA  
July 1, 2005

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT  
UNDER §1.97 (b)

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) wish to call the following documents (a copy of each non-US Patent reference is enclosed) to the attention of the Examiner:

**U.S. PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	NAME
1)	5,907,704	05/1999	Gudmundson et al.
2)	5,966,702	10/1999	Fresko et al.
3)	6,427,227	07/2002	Chamberlain
4)	6,434,744	08/2002	Chamberlain et al.
5)	6,363,488	03/2002	Ginter et al.
6)	5,748,980	05/1998	Lipe et al.
7)	5,724,272	03/1998	Mitchell et al.
8)	6,748,555	06/2004	Teegan et al.

9)	6,742,177	05/2004	Dorak et al.
10)	6,721,941	04/2004	Morshed et al.
11)	6,708,324	03/2004	Solloway et al.

OTHER DOCUMENTS

1)	Czajkowski, Grzegorz et al., "JRes: A Resource Accounting Interface for Java", pages 21-35, ACM, Vancouver, B.C., 1998.
2)	Ostroff, Jonathan S., "Automated Modular Specification and Verification of Real-Time Reactive Systems", pages 108-121, IEEE, 1995.
3)	Abdulla, Parosh et al., "Verifying Programs with Unreliable Channels", pages 160-170, IEEE, 1993.

A PTO form 1449 listing these documents is enclosed.

Citation of the above documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

The Commissioner is hereby authorized to charge any fees required for consideration of this Information Disclosure Statement, and to credit any overpayment of fees to Deposit Account No. 50-0553.

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Attorney for Applicant(s)

July 1, 2005

Date of Signature

Respectfully submitted,



Forrest Gunnison  
Attorney for Applicant(s)  
Reg. No. 32,899  
(831) 655-0880

Form PTO-1449 <b>INFORMATION DISCLOSURE CITATION</b> IN AN APPLICATION <i>(Use several sheets if necessary)</i>				Atty Docket No. P-4172CNT	Serial No. 10/661,043
				Applicant(s) Judith E. Schwabe	
				Filing Date September 12, 2003	Group 2184

## U. S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
✓	AA	5,907,704	05/1999	Gudmundson et al.	717	100	
	AB	5,966,702	10/1999	Fresko et al.	707	1	
	AC	6,427,227	07/2002	Chamberlain	717	124	
/	AD	6,434,744	08/2002	Chamberlain et al.	717	168	
	AE	6,363,488	03/2002	Ginter et al.	713	201	
	AF	5,748,980	05/1998	Lipe et al.	710	8	
	AG	5,724,272	03/1998	Mitchell et al.	702	123	
	AH	6,748,555	06/2004	Teegan et al.	714	38	
	AI	6,742,177	05/2004	Dorak et al.	717	124	
✓	AJ	6,721,941	04/2004	Morshed et al.	717	127	
✓	AK	6,708,324	03/2004	Solloway et al.	717	124	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	YES	NO
	AL								
	AM								
	AN								
	AO								
	AP								

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

✓	AR	Czajkowski, Grzegorz et al., "JRes: A Resource Accounting Interface for Java", pages 21-35, ACM, Vancouver, B.C., 1998.
✓	AS	Ostroff, Jonathan S., "Automated Modular Specification and Verification of Real-Time Reactive Systems", pages 108-121, IEEE, 1995.
✓	AT	Abdulla, Parosh et al., "Verifying Programs with Unreliable Channels", pages 160-170, IEEE, 1993.

Examiner *✓* Date Considered

5/17/06

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).



Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.

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Page 1 of 1

Form PTO 1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P4172CNT	Serial No. 09/661,043
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Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant: Judith E. Schwabe	
		Filed: September 12, 2003	Group: Unassigned

**U.S. Patent Documents**

Init.		Document No.	Date	Name	Class	Subclass	Filing Date
2	A	2002/0040936	4/11/02	Wentker et al.			
	B	6,549,930	4/15/03	Chrysos et al.			
	C	6,349,344	2/19/02	Sauntry et al.			
	D	6,466,947	10/15/02	Arnold et al.			
	E	6,519,767	2/11/03	Carter et al.			
	F	5,408,665	4/18/95	Fitzgeralds			
	G	5,974,255	10/26/99	Gossain et al.			
	H	6,526,571	2/25/03	Aizikowitz et al.			
	I	6,230,318	5/8/01	Halstead et al.			
	J	6,011,918	1/4/00	Cohen et al.			
	K	6,243,859	6/5/01	Chen-Kuang			
	L	6,262,492	7/17/01	Sheng			
	M	6,125,442	9/26/00	Maves et al.			
	N	6,005,942	12/1999	Chan et al.			
	O	5,022,028	6/1991	Edmonds et al.			
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	T	6,347,398	2/2002	Parthasarathy et al.			
	U	6,668,289	12/2003	Cheng et al.			
	V	6,405,309	6/2002	Cheng et al.			
	W	6,202,070	3/2001	Nguyen et al.			
	X	5,925,140	7/1999	Hudson			
W	Y	RE 37,722	5/28/02	Burnard et al.			

**Foreign Documents**

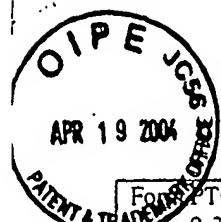
Translation

Init.		Document No.	Date	Country	Class	Subclass	Yes	No
W	Z	98/43212	10/1/98	WO				

**Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)**

W	aa	Zhao, Jianjun, "Applying Program Dependence Analysis To Java Software", Department of Computer Science and Engineering, pp. 1-8.
Examiner		Date Considered 5/15/06

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.



APR 19 2006

Page 1 of 1

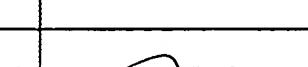
Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P4172CNT	Serial No. 10/661,043
Information Disclosure Statement by Applicant  (Use several sheets if necessary)		Applicant: Judith E. Schwabe  Filed: September 12, 2003 Group: Unassigned

## U.S. Patent Documents

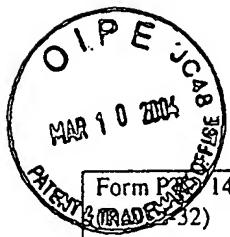
## Foreign Documents

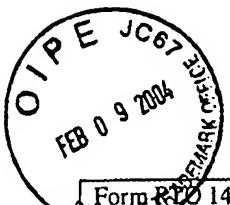
### Translation

**Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)**

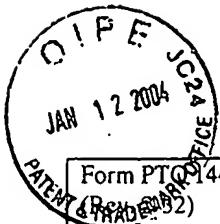
Examiner  Date Considered 1/15/65

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Form PTO-1449 (Rev. 10-22-02)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P4172CNT	Serial No. 10/661,043
Information Disclosure Statement by Applicant		Applicant: Judith E. Schwabe	
(Use several sheets if necessary)		Filed: September 12, 2003	Group: Unassigned

## U.S. Patent Documents

**Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)**

		Joseph Bergin et al., " <u>Java Resources for Computer Science Instruction</u> ", ITiCSE Working Group Reports, 1998, pp. 14-34.
		John B. Bowles et al., " <u>A Comparison of Commercial Reliability Prediction Program</u> ", IEEE, 1990, pp. 450-455.
		Richard Cooper, " <u>Persistent Languages Facilitate the Implementation of Software Version Management</u> ", IEEE, 1989, pp. 56-65.
		Alois Ferscha et al. " <u>Java Based Conservative Distributed Simulation</u> ", 1997, pp. 381-388.
		Ian Foster et al., " <u>A Security Architecture for Computational Grids</u> ", 5 <sup>th</sup> Conference on Computer & Communications Security, 1998, pp. 83-92.
		Peter Lindsay et al., " <u>A Generic Model for Fine Grained Configuration Management Including Version Control and Traceability</u> ", IEEE, 1997, pp. 27-36.

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.



Form PTO 1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P4172 CNT	Serial No.
Information Disclosure Statement by Applicant		Applicant: Schwabe, Judith E.	
(Use several sheets if necessary)		Filed: <u>Herewith</u> Group:	

## U.S. Patent Documents

### Foreign Documents

**Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)**

W A	Daniels, John et al., "Strategies For Sharing Objects In Distributed Systems", JOOP, Object Designers Ltd., UK, pages 27-36

Examiner	Date Considered
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Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.

Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office					Atty. Docket No. SUN-P4172 CNT	Serial No.	
					Applicant: Schwabe, Judith E.		
Information Disclosure Statement by Applicant (Use several sheets if necessary)					Filed: <u>Herewith</u>	Group: <u>      </u>	
<b>U.S. Patent Documents</b>							
Init.		Document No.	Date	Name	Class	Subclass	Filing Date
<u>  </u>	A	98/37526	19.02.98	WO	G07F 7/10		
<u>  </u>	B	0 718 761 A1	19.12.95	EPO	G06F 9/455	G06F 9/44	
<u>  </u>	C	Chan, "Infrastructure of Multi-Application Smart Card", <a href="http://home.hkstar.com/~alanchan/papers/multiApplicationSmartCard/">http://home.hkstar.com/~alanchan/papers/multiApplicationSmartCard/</a> , July 25, 2002					
<u>  </u>	D	Chen, Zhiqun, "Java Card™ Technology for Smart Cards", <i>Sun Microsystems</i> , pages 11-16, June, 2000					
<u>  </u>	E	Ritchey, Tim, "Advanced Topics: The Java Virtual Machine", <i>Java!</i> , Chapter 14, pages 25-346, September 22, 1995					
<u>  </u>	F	Sun Microsystems, Inc., "Java Card™ 2.0 Language Subset and Virtual Machine Specification", October 13, 1997, Revision 1.0 Final.					
<u>  </u>	G	Sun Microsystems, Inc., "Java Card™ 2.0 Programming Concepts", October 15, 1997, Revision 1.0 Final.					
<u>  </u>	H	"Sun Delivers On Vision to Bring JAVA Technology to the Consumer and Embedded Market", <i>Business Wire</i> , September 28, 1999					
<u>  </u>	I	"Sun Microsystems Announces JAVACARD API", <i>Business Wire</i> , October 1996					
<u>  </u>	J	Sun Microsystems: "Sun's JAVA Technology Leads Open Worldwide Market for Smart Cards", M2, <i>Presswire</i> , May 1999					
Examiner					Date Considered		
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.							





<b>Notice of References Cited</b>			Application/Control No.	Applicant(s)/Patent Under Reexamination	
			SUN- P4172 CNT		Judith E. Schwabe
Examiner			Art Unit		Page 6 of 6

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
X	A	US-6,002,871	12-1999	Duggan et al.	717/135
X	B	US-5,668,999	09-1997	Gosling, James A.	717/126
X	C	US-6,247,171	06-2001	Yellin et al.	717/126
X	D	US-6,075,940	06-2000	Gosling, James A.	717/126
X	E	US-6,052,732	04-2000	Gosling, James A.	709/229
X	F	US-5,748,964	05-1998	Gosling, James A.	717/126
X	G	US-6,477,666	11-2002	Sanchez et al.	714/41
X	H	US-6,138,112	10-2000	Slutz, Donald R.	707/2
X	I	US-6,038,378	03-2000	Kita et al.	714/38
	J	US-			
	K	US-			
	L	US-			
	M	US-			

**FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.